

Carestio Daniel A
Form 4
March 28, 2019

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Carestio Daniel A

(Last) (First) (Middle)

C/O RUTHERFORD HOUSE,
STEPHENSONS
WAY, CHADDESSEN

(Street)

DERBY, X0 DE21 6LY

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
STERIS plc [STE]

3. Date of Earliest Transaction
(Month/Day/Year)
03/28/2019

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director _____ 10% Owner
X Officer (give title _____ Other (specify
below) below)
Sr VP and Chief Operating Off

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D)	Price	
Ordinary Shares, 10 pence par value	03/28/2019		D		20,460 (1)	D	(2) 0

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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information contained in this form are not
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(9-02)

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 53.52	03/28/2019		D	7,000	<u>(3)</u> 05/30/2024	Ordinary Shares 7,000
Employee Stock Option (right to buy)	\$ 67.98	03/28/2019		D	8,000	<u>(4)</u> 08/10/2025	Ordinary Shares 8,000
Employee Stock Option (right to buy)	\$ 69.72	03/28/2019		D	15,000	<u>(5)</u> 06/01/2026	Ordinary Shares 15,000
Employee Stock Option (right to buy)	\$ 77.07	03/28/2019		D	18,000	<u>(6)</u> 05/30/2027	Ordinary Shares 18,000
Employee Stock Option (right to buy)	\$ 114.22	03/28/2019		D	29,864	<u>(7)</u> 05/31/2028	Ordinary Shares 29,864
Employee Stock Option (right to buy)	\$ 125.58	03/28/2019		D	9,468	<u>(8)</u> 10/01/2028	Ordinary Shares 9,468

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director 10% Owner Officer

Other

Carestio Daniel A
C/O RUTHERFORD HOUSE, STEPHENSONS
WAY
CHADDESSEN
DERBY, X0 DE21 6LY

Sr VP and Chief Operating Off

Signatures

/s/ Ronald E. Snyder, Authorized Representative under Power of
Attorney

03/28/2019

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) 20,460 of these ordinary shares are restricted. The restrictions on these ordinary shares lapse as follows: 5,000 on May 28, 2019; 2,500 on June 1, 2020; 3,000 on October 1, 2019; 5,500 on June 1, 2021; 2,712 on May 31, 2022 and 1,748 on October 3, 2022.
- Represents ordinary shares of STERIS plc, a public limited company organized under the laws of England and Wales ("Old STERIS"), cancelled pursuant to a court-approved scheme of arrangement under English law (the "Scheme"). In connection with the Scheme, the reporting person received ordinary shares of STERIS plc, a public limited company organized under the laws of Ireland ("STERIS"), in an amount equal to the number of the reporting person's cancelled Old STERIS shares. The reporting person's STERIS shares will be subject to terms and conditions, including restrictions, substantially identical to those that were applicable to the Old STERIS shares. Following the completion of the Scheme, STERIS became the ultimate holding company of Old STERIS.
- (2) This option is fully vested. This option was assumed by STERIS under the Scheme and converted to an option to purchase 7,000 ordinary shares of STERIS for \$53.52 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- This option will become exercisable as follows: 2,000 on May 28, 2016; 2,000 on May 28, 2017; 2,000 on May 28, 2018 and 2,000 on May 28, 2019. This option was assumed by STERIS under the Scheme and converted to an option to purchase 8,000 ordinary shares of STERIS for \$67.98 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (3) This option becomes exercisable as follows: 3,750 on June 1, 2017; 3,750 on June 1, 2018; 3,750 on June 3, 2019 and 3,750 on June 1, 2020. This option was assumed by STERIS under the Scheme and converted to an option to purchase 15,000 ordinary shares of STERIS for \$69.72 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- This option becomes exercisable as follows: 4,500 on May 30, 2018; 4,500 on May 30, 2019; 4,500 on June 1, 2020 and 4,500 on June 1, 2021. This option was assumed by STERIS under the Scheme and converted to an option to purchase 18,000 ordinary shares of STERIS for \$77.07 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (4) This option becomes exercisable as follows: 7,466 on May 31, 2019; 7,466 on June 1, 2020; 7,466 on June 1, 2021 and 7,466 on May 31, 2022. This option was assumed by STERIS under the Scheme and converted to an option to purchase 29,864 ordinary shares of STERIS for \$114.22 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- This option becomes exercisable as follows: 2,367 shares on October 1, 2019; 2,367 shares on October 1, 2020; 2,367 shares on October 1, 2021 and 2,367 shares on October 3, 2022. This option was assumed by STERIS under the Scheme and converted to an option to purchase 9,468 ordinary shares of STERIS for \$125.58 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (5) purchase 9,468 ordinary shares of STERIS for \$125.58 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.